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PTO/SB/05 (08-00) (modified)

Approved for use through 9/30/2001, OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

| NEW UTILITY PATENT APPLICATION TRANSMITTAL (only for new nonprovisional applications under 37 CFR 1.53(b)) | | Attorney Docket Number | 19567-05719 |
|--|--|------------------------|---|
| | | First Named Inventor | Pankaj S. Parekh |
| | | Title | Architecture For An Integrated Policy Enforcement System |
| | | Express Mail Label No. | EL566298610US |

11002 U.S. PTO
10/052745
01/17/02


| APPLICATION ELEMENTS | ACCOMPANYING APPLICATION PARTS |
|---|---|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) | 7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) |
| 2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 | 8. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) |
| 3. <input checked="" type="checkbox"/> Specification Total Pages 49 (preferred arrangement set forth below) <ul style="list-style-type: none"><input checked="" type="checkbox"/> Descriptive Title of the Invention<input checked="" type="checkbox"/> Cross Reference(s) to Related Case(s)<input checked="" type="checkbox"/> Statement Regarding Fed sponsored R & D<input checked="" type="checkbox"/> Background of the Invention<input checked="" type="checkbox"/> Brief Summary of the Invention<input checked="" type="checkbox"/> Brief Description of the Drawing(s)<input checked="" type="checkbox"/> Detailed Description<input checked="" type="checkbox"/> Claim or Claims<input checked="" type="checkbox"/> Abstract of the Disclosure | 9. <input type="checkbox"/> Power of Attorney or Authorization of Agent |
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. Total Sheets 12 113) | 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement |
| 5. Oath or Declaration | 11. <input type="checkbox"/> Preliminary Amendment |
| a. <input checked="" type="checkbox"/> New Declaration Total Pages 3 <input type="checkbox"/> Executed (original or copy) | 12. <input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Citation(s) |
| b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed) | 13. <input checked="" type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent |
| i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). | 14. <input checked="" type="checkbox"/> Return Postcard |
| 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 | 15. <input type="checkbox"/> |
| | 16. <input type="checkbox"/> |
| | 17. <input type="checkbox"/> |

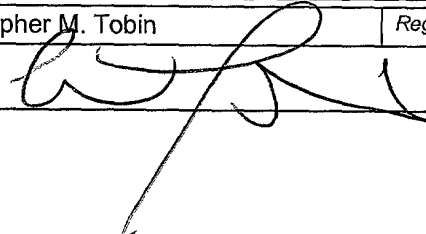
ADDRESS TO:
Box Patent Application
Commissioner for Patents
Washington, D.C. 20231

18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76:
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: ____/____
Prior application information: Examiner: _____ Group/Art Unit: _____
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuing or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number and Bar Code Label


00758

| | | | |
|-------------------|---|-----------------------------------|------------------|
| Name (Print/Type) | Christopher M. Tobin | Registration No. (Attorney/Agent) | 40,290 |
| Signature |  | Date | January 17, 2002 |

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified)
Rev. 10/2001U.S. Department of Commerce
Patent and Trademark Office

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = **\$ 1,082.00**

Complete if Known

| | |
|------------------------|------------------|
| Application Number | Unassigned |
| Filing Date | Herewith |
| First Named Inventor | Pankaj S. Parekh |
| Group Art Unit | Unassigned |
| Examiner Name | Unassigned |
| Attorney Docket Number | 19567-5719 |

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.†
- ☐ Applicant claims small entity status See 37 CFR 1.27

Deposit Account Number: 19-2555

Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. ☒ Payment Enclosed:☒ Check ☐ Credit Card ☐ Other

FEE CALCULATION (fees effective 10/01/2001)

1. FILING FEE

| Large Entity Fee Code/Fee | Small Entity Fee Code/Fee | Fee Description | Fee Due |
|------------------------------|------------------------------|--------------------|------------------|
| 101/\$740 | 201/\$370 | Utility Filing | 740 |
| 106/\$330 | 206/\$165 | Design Filing | |
| 108/\$740 | 208/\$370 | Reissue | |
| 114/\$160 | 214/\$80 | Provisional Filing | |
| SUBTOTAL (1) | | | \$ 740.00 |

2. CLAIMS

| Large Entity Fee Code/Fee | Small Entity Fee Code/Fee | Fee Description |
|------------------------------|------------------------------|---|
| 103/\$18 | 203/\$9 | Claims in excess of 20 |
| 102/\$84 | 202/\$42 | Independent claims in excess of 3 |
| 104/\$280 | 204/\$140 | Multiple dependent claim |
| 109/\$84 | 209/\$42 | Reissue independent claims over original patent |
| 110/\$18 | 210/\$9 | Reissue claims in excess of 20 and over original patent |

3. ADDITIONAL FEES

| Large Entity Fee Code/Fee | Small Entity Fee Code/Fee | Fee Description | Fee Due |
|------------------------------|------------------------------|--|-------------|
| 105/\$130 | 205/\$65 | Surcharge - late filing fee or oath | |
| 127/\$50 | 227/\$25 | Surcharge-late provisional filing fee or cover sheet | |
| 147/\$2,520 | 147/\$2,520 | For filing a request for reexamination | |
| 115/\$110 | 215/\$55 | Extension for response within first month† | |
| 116/\$400 | 216/\$200 | Extension for response within second month† | |
| 117/\$920 | 217/\$460 | Extension for response within third month† | |
| 118/\$1,440 | 218/\$720 | Extension for response within fourth month† | |
| 128/\$1,960 | 228/\$980 | Extension for response within fifth month† | |
| 119/\$320 | 219/\$160 | Notice of Appeal | |
| 141/\$1,280 | 241/\$640 | Petition to revive unintentionally abandoned application | |
| 142/\$1,280 | 242/\$640 | Utility Issue Fee (Or Reissue) | |
| 143/\$460 | 243/\$230 | Design Issue Fee | |
| 122/\$130 | 122/\$130 | Petitions to the Commissioner | |
| 126/\$180 | 126/\$180 | Submission of Information Disclosure Statement | |
| 179/\$740 | 279/\$370 | Request for Continued Examination (RCE) | |
| 581/\$40 | 581/\$40 | Recording each patent assignment per property (times number of properties) | |
| 146/\$740 | 246/\$370 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149/\$740 | 249/\$370 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| Other fee (specify): | | | |
| Other fee (specify): | | | |
| SUBTOTAL (3) | | | (\$) |

| (Col. 1) | | (Col. 2) | | (Col. 3) | | Fee Due | |
|--|-----------------------|---------------------------------|---|----------|-----|---------|-------|
| For | No of Existing Claims | Highest No. Previously Paid For | | Extra** | Fee | | |
| TOTAL | 39 | 20 or 0 | = | 19 | x | 18 | = 342 |
| INDEP | 3 | 3 or 0 | = | | x | | = |
| [] First presentation of multiple dependent claim | | | | | | | |

* Subtract the greater number of Col. 2

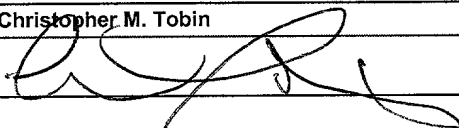
** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) **\$ 342.00**

SUBMITTED BY

Typed or Printed Name **Christopher M. Tobin**

Signature



Complete (if applicable)

Reg. Number **40,290**Date **January 17, 2002**

† Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby

**NONPUBLICATION REQUEST
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

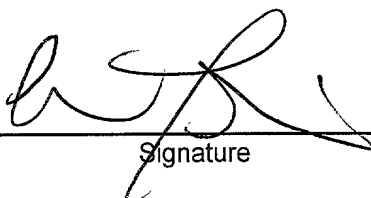
First Named Inventor Pankaj S. Parekh

Title Architecture for an Integrated Policy
Enforcement System

Atty Docket Number 19567-05719

I hereby certify that the invention disclosed in the attached application **has not been and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

January 17, 2002
Date


Signature

Christopher M. Tobin / 40,290
Typed or printed name/Registration Number

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.